

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

Sheet 1 of 6

Complete if Known

Application Number	10/781,403
Filing Date	February 18, 2004
First Named Inventor	Roger W. Phillips
Art Unit	2872
Examiner Name	SIEDER
Attorney Docket Number	48930-01403

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
W	1	US-	3,011,383	12-05-1961	Sylvester et al.	
	2	US	3,123,490	03-03-1964	Bolomey et al.	
	3	US	3,412,575	11-26-1968	Feldman et al.	
	4	US	3,622,473	11-23-1971	Ohta et al.	
	5	US	3,926,659	12-16-1975	Bernhard et al.	
	6	US	3,949,139	04-06-1976	Dunning et al.	
	7	US	3,962,397	06-08-1976	Narui et al.	
	8	US	3,988,494	10-26-1976	McAdow	
	9	US	4,116,710	09-26-1978	Heikel	
	10	US	4,168,983	09-25-1979	Vittands et al.	
	11	US	4,213,886	07-22-1980	Turner	
	12	US	4,309,075	01-05-1982	Apfel et al.	
	13	US	4,321,087	03-23-1982	Levine et al.	
	14	US	4,434,010	02-28-1984	Ash	
	15	US	4,552,593	11-12-1985	Ostertag	
	16	US	4,629,512	12-16-1986	Kondis	
	17	US	4,705,300	11-10-1987	Berning et al.	
	18	US	4,705,356	11-10-1997	Berning et al.	
	19	US	4,721,217	01-26-1988	Phillips et al.	
	20	US	4,756,771	07-12-1988	Brodalla et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document ⁴	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
W	21	4-264513	09/1992	Japan		
J	22	61198201-A	09/1986	Japan		
	23	11213335	08-06-1999	Japan		
	24	55117106	09-09-1980	Japan		
	25	61198201	09-02-1986	Japan		
	26	WO 96/22336	07-25-1996	PCT		

Examiner Signature	SIEDER	Date Considered	6/21/04
--------------------	--------	-----------------	---------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the complete application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	10/781,403
Filing Date	February 18, 2004
First Named Inventor	Roger W. Phillips
Art Unit	2872
Examiner Name	SIFDGL
Attorney Docket Number	48930-01403

Sheet

2

of

6

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
W	27	US-	4,799,745	01-24-1989	Meyer et al.	
	28	US	4,838,648	06-13-1989	Phillips et al.	
	29	US	4,851,095	07-25-1989	Scobey, et al.	
	30	US	4,978,394	12-18-1990	Ostertag	
	31	US	5,009,486	04-23-1991	Dobrowolski et al.	
	32	US	5,059,245	10-22-1991	Phillips et al.	
	33	US	5,084,351	01-28-1992	Phillips et al.	
	34	US	5,116,664	05-26-1992	Kimura et al.	
	35	US	5,135,812	08-04-1992	Phillips et al.	
	36	US	5,171,363	12-15-1992	Phillips et al.	
	37	US	5,190,807	03-02-1993	Kimock et al.	
	38	US	5,198,042	03-30-1993	Masumoto et al.	
	39	US	5,225,057	07-06-1993	LeFebvre, et al.	
	40	US	5,278,590	01-11-1994	Phillips et al.	
	41	US	5,279,657	01-18-1994	Phillips et al.	
	42	US	5,322,767	01-21-1994	Ohshima et al.	
	43	US	5,356,471	10-18-1994	Reynders	
	44	US	5,364,467	11-15-1994	Schmid et al.	
	45	US	5,378,527	01-03-1995	Nakanishi et al.	
46	US	5,549,774	08-27-1996	Miekka et al.		

FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
W	47	WO 96/38505	12-05-1996	PCT		<input type="checkbox"/>
	48	WO 98/12583	03-26-1998	PCT		<input type="checkbox"/>
	49	WO 99/35194	07-15-1999	PCT		<input type="checkbox"/>
	50	0472371 AI	02-26-1992	EPO		<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>

Examiner
Signature

SIFDGL

Date
Considered

6/21/04

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the complete application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
			Application Number	10/781,403	
			Filing Date	February 18, 2004	
			First Named Inventor	Roger W. Phillips	
			Art Unit	2872	
			Examiner Name	SIFD EN	
Sheet	3	of	6	Attorney Docket Number	48930-01403

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ²⁰¹ (if known)				
✓	51	US	5,571,624	11-05-1996	Phillips et al.	
	52	US	5,573,584	11-12-1996	Ostertag et al.	
	53	US	5,593,773	01-14-1997	McKay et al.	
	54	US	5,607,504	03-04-1997	Schmid et al.	
	55	US	5,624,076	04-29-1997	Miekkka et al.	
	56	US	5,624,486	04-29-1997	Schmid et al.	
	57	US	5,629,068	05-13-1997	Miekkka et al.	
	58	US	5,648,165	07-15-1997	Phillips et al.	
	59	US	5,656,128	08-12-1997	Hashimoto et al.	
	60	US	5,662,738	09-02-1997	Schmid, et al.	
	61	US	5,672,410	09-30-1997	Miekkka et al.	
	62	US	5,707,409-A	01-13-1998	Martin et al.	
	63	US	5,763,086	06-09-1998	Schmid et al.	
	64	US	5,766,344	06-16-1998	Hashizume et al.	
	65	US	5,766,335	06-16-1998	Bujard et al.	
	66	US	5,789,068	08-04-1998	King et al.	
	67	US	5,790,304	08-04-1998	Sanders et al.	
	68	US	5,830,567	11-03-1998	Panush	
	69	US	5,858,078	01-12-1999	Andes et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				

Examiner Signature	SIFD EN	Date Considered	6/21/04
-----------------------	---------	--------------------	---------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the complete application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	10/781,403
Filing Date	February 18, 2004
First Named Inventor	Roger W. Phillips
Art Unit	2872
Examiner Name	SIKDER
Attorney Docket Number	48930-01403

Sheet 5 of 6

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
M	77	Barrett and Nix, <i>The Principles of Engineering Materials</i> , Prentice Hall, Inc., 282-290, 1973.
	78	Callister WD, Jr., <i>Material Science and Engineering: An Introduction</i> , John Wiley & Sons, Inc., 91-112, 1985.
	79	Zink, et al., <i>Optical Probes and Properties of Aluminosilicate Glasses Prepared by the Sol-Gel Method</i> , <i>Polymer Material Science and Engineering</i> , 61, 204-208, 1989.
	80	McKiernan et al, <i>Luminescence and Laser Action of Coumarin Dyes Doped in Silicate and Aluminosilicate Glasses Prepared by the Sol-Gel Technique</i> , <i>Journal of Inorganic Organometallic Polymers</i> , Vol. 1, No.1, 87-103, 1991.
	81	Greiwe K., <i>Coloured Aluminum Pigments</i> , Eckart-Werke, Werk Güntersthal, 4 th Nürnberg Congress, Paper 6, 1-7.
	82	The Mearle Corporation brochure for "Mearle Iridescent Film," Peekskill, New York.
	83	J.A. Dobrowolski; K.M. Baired; P.D. Carman; and A. Waldof, "Optical Interference Coatings for Inhibiting of Counterfeiting," <i>Optica Acta</i> , 1973, Vol. 20, No. 12, 925-937.
	84	The R.D. Mathis Company Manual for "Think Film Evaporation Source Reference," Long Beach, CA.
	85	Minolta Manual for "Precise Color Communication, Color Control From Feeling to Instrumentation," Pages 18, 20, 22, 23, 46, 47, 48 and 49.
	86	R. Hermann and G. Brauer, "DC and RF-Magnetron Sputtering," and J. Becker, "Ion Beam Sputtering," <i>Handbook of Optical Properties</i> , Vol. 1, pp. 135-212, R.E. Hummel and K.H. Guenter (eds), CRC Press (1995).
	87	D.G. Teer, "Reactive Magnetron Sputter Barrel Ion Plating," <i>Conference Proceedings IPAT 91</i> , p. 303-308, Brussels, Belgium.
	88	C. Window and N. Savvides, "Charged Particle Fluxes From Planar Magnetron Sputtering Sources," <i>J. Vac. Sci. Technol. A</i> 4(2), March/April 1986, p. 196-202.
✓	89	N. Savvides and B. Window, "Unbalanced Magnetron Ion-Assisted Deposition and Property Modification of Thin Films," <i>J. Vac. Sci. Technol. A</i> 4(3), May/June 1986, p. 504-508.

Examiner Signature	SIKDER	Date Considered	6/20/04
--------------------	--------	-----------------	---------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the complete application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Application Number	10/781,403
Filing Date	February 18, 2004
First Named Inventor	Roger W. Phillips
Art Unit	2872
Examiner Name	SIFDGL
Attorney Docket Number	48930-01403

Sheet	6	of	6
-------	---	----	---

[illegible]

Examiner Signature	S. K. D. R.	Date Considered	6/20/09
-----------------------	-------------	--------------------	---------

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the complete application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.